



#3

PTO/SB/01 (03-01)

Approved for use through 10/31/2002. OMB 0851-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**DECLARATION FOR UTILITY OR
DESIGN
PATENT APPLICATION
(37 CFR 1.63)**☐Declaration
Submitted
with Initial
Filing

OR

☒Declaration
Submitted after Initial
Filing (surcharge
(37 CFR 1.16 (e))
required)

Attorney Docket Number

016422/142

First Named Inventor

David RIOS, et al.

COMPLETE IF KNOWN

Application Number

09 / 931,149

Filing Date

August 16, 2001

Group Art Unit

2164

Examiner Name

not yet known

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

METHOD AND SYSTEM FOR MANAGING A MORTGAGE-BACKED SECURITIES INDEX

(Title of the invention)

the specification of which

☐

is attached hereto

OR

☒

was filed on (MM/DD/YYYY) August 16, 2001

as United States Application Number or PCT International

Application Number

09/931,149

and was amended on (MM/DD/YYYY)

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

(Page 1 of 2)

Burden Hour Statement: This form is estimated to take 21 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



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DECLARATION — Utility or Design Patent Application

Direct all correspondence to: <input checked="" type="checkbox"/> Customer Number or Bar Code Label		OR <input checked="" type="checkbox"/> Correspondence address below	
Name Donna L. Angotti Schulte Roth & Zabel, LLP			
Address 919 Third Avenue			
City New York	State NY	ZIP 10022	
Country U.S.A.	Telephone 212-756-2488	Fax 212-593-5955	
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.			
NAME OF SOLE OR FIRST INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any)) David		Family Name or Surname RIOS	
Inventor's Signature		Date 11/27/01	
Residence: City Long Island City	State NY	Country U.S.A.	Citizenship U.S.A.
Mailing Address 36-36 24th Street			
City Long Island City	State NY	ZIP 11106	Country U.S.A.
NAME OF SECOND INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any)) Matt		Family Name or Surname RUPPEL	
Inventor's Signature		Date 4/27/01	
Residence: City New York	State NY	Country U.S.A.	Citizenship U.S.A.
Mailing Address 687 Greenwich Street, Apt. 103			
City New York	State NY	ZIP 10014	Country U.S.A.
<input type="checkbox"/> Additional inventors are being named on the _____ supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.			

Please type a plus sign (+) inside this box → ☒

PTO/SB/81 (02-01)

Approved for use through 10/31/2002. OMB 0831-0035

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NOV 28 2001

**POWER OF ATTORNEY OR
AUTHORIZATION OF AGENT**

Application Number	09/
Filing Date	August 13, 2001
First Named Inventor	David RIOS, et al.
Title	METHOD AND SYSTEM FOR MANAGING A MORTGAGE-
Group Art Unit	not yet assigned
Examiner Name	not yet known
Attorney Docket Number	016422/142

I hereby appoint:

☐ Practitioners at Customer Number →

Place Customer Number Bar Code Label here

☒ Practitioner(s) named below:

Name	Registration Number
Joel E. Lutzker	29,406
Leonard Sorgi	33,211
Donna L. Angotti	32,679
Anna Vishev	45,018

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

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OR

<input checked="" type="checkbox"/> Firm or Individual Name	SCHULTE ROTH & ZABEL LLP					
Address	919 Third Avenue					
Address						
City	New York	State	New York	Zip	10022	
Country	U.S.A.					
T. lephone	212-756-2000	Fax	212-593-5955			

I am the:

☐ Applicant/Inventor.

☐ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).
SIGNATURE of Applicant or Assignee of Record

Name	Matt Ruppel
Signature	
Date	11/27/2001

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ Total of _____ forms are submitted.

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PTO/SB/01 (02-01)

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☐ Practitioners at Customer Number
☒ Practitioner(s) named below:

Place Customer
Number Bar Code
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Name	Registration Number
Todd Sicklinger	47,087
Mayankumar Dixit	44,064
Richard Chern	44,610

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SCHULTE BOTH & ZABEL LLP

Address

919 Third Avenue

Address

City

New York

State

New York

Zip

10022

Country

U.S.A.

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Fax

2120593-5955

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SIGNATURE of Applicant or Assignee of Record

Name

David Rios

Signature

Date

11/27/01

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Anna Vishev	45,018

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